

Records Management for Electronic Records



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Electronic Record

Structured information, maintained in a digital format using computer based technology.



Key Components of Electronic Records

Content:

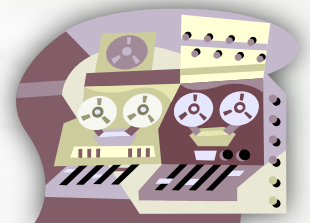
- What information is being communicated?

Context:

- What are the circumstances surrounding the creation of the document?

Structure:

- How was the information originally formatted and presented?



Electronic Records Issues

Easily created and copied (multiple “originals”)

Easily manipulated

Lack of filing standards

- Multiple storage devices
- Lack of filing methodology
- “Personal” naming conventions

Information technology rapidly changing

Electronic Records Issues

Storage is invisible

Space is not a personal issue

Electronic storage media have a relatively short life span

Disposal is complex



Solutions

Implement Filing Standards

- Classification methodology
- Use industry standard formats
- Common storage systems
- Use descriptive file names

System goal - Centralize

- One original
- One location
- Accessible by appropriate personnel

Complete Annual Records Disposal Process

Statewide Classification System

Based on 31 standard subjects

Examples:

- 01 (ACT) Accounting
- 30 (C/L/A) Contracts/Leases/Agreements
- 60 (PER) Personnel
- 80 (SPS) Programs, Projects, and Services

Organizing Electronic Records

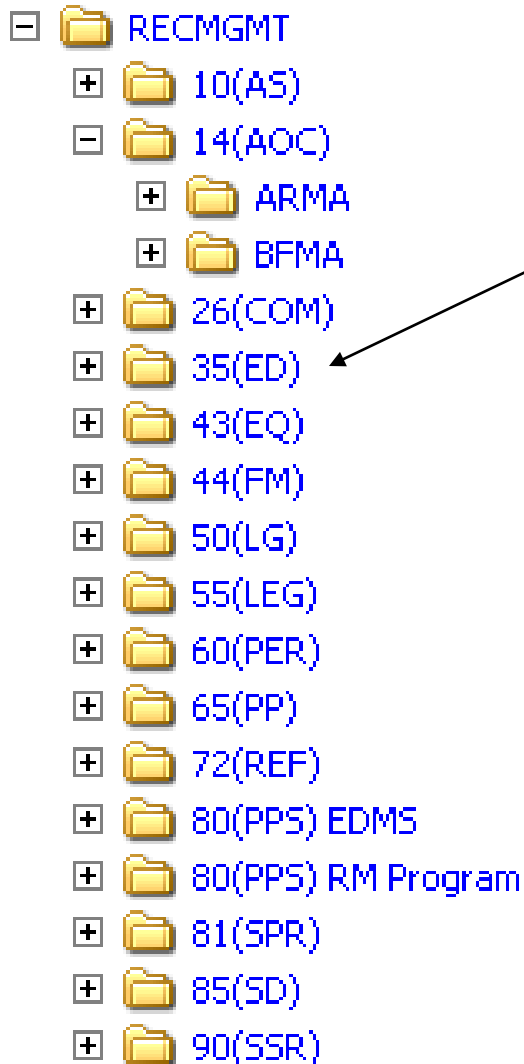
Implement standard directories on personal and shared network drives.

Create sub-directories based on the State Subject Classification System.

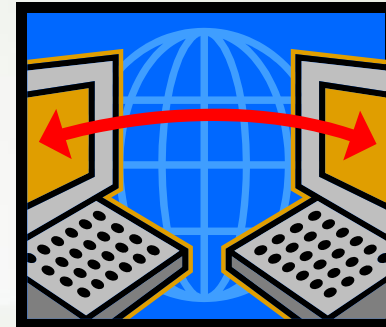
Break down each sub-directory by year (2008, 2009, etc.)

File documents under these sub-directories.

Sample Network Drive



Abbreviations can be used, or some agencies choose to spell out the classification category name [i.e. 35 (Education)]



The ND Subject Classification System can be found at
<http://www.nd.gov/itd/records/docs/classification.pdf>

Electronic Records Retention

Apply retention equally to paper and electronic records.

Dispose of electronic records during annual records disposal process.

- Virtual Desktop:
 - Delete cookies, temp files, cache, & history files
 - Empty Recycle Bin and Deleted Items (Outlook)

Backups may contain records that should be disposed.

Storage Considerations

Match storage with access requirements.

Consider media life carefully.

Follow instructions for media storage.

Always have dependable backups available.

Have a disaster recovery plan in place.

Expect to migrate information.

E-Mail Records

Determine “official record” status for retention purposes.

Official Record:

- Made or received pursuant to law or in connection with the transaction of official business.
- Preserves evidence of the organization, functions, and activities.
- Documents programs, policies, and decisions.

Not every e-mail message is an “official record”.

E-Mail Records

Assign retention based on the content of the message, i.e. personnel, financial, etc.

Refer to specific records retention schedule for the office.

Refer to ND General Records Retention Schedule.

